

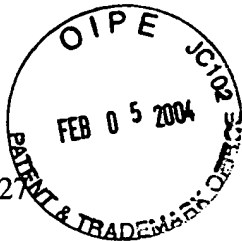
## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

James Peterson et al.

Application No.: 09/654,627

Filed: September 5, 2000

For: SYSTEM AND METHOD FOR TAX  
SENSITIVE PORTFOLIO  
OPTIMIZATION

Group Art Unit: 7348

Examiner: Sally Shih

**RESPONSE TO ADVISORY ACTION  
MAILED DECEMBER 30, 2003**121 Spear Street, Suite 290  
San Francisco, CA 94105  
(415) 512-1312#16/C  
ShihBOX RCE  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450**CERTIFICATE OF MAILING**I hereby certify that this correspondence is being deposited  
with the United States Postal Service as First Class Mail in an  
envelope, addressed to: Commissioner for Patents, P.O.  
Box 1450, Alexandria, VA 22313-1450 on February 2, 2004.

STALLMAN &amp; POLLOCK LLP

Dated: 02/02/2004

By:

Georgia K. Stith

Sir:

In response to the Advisory Action mailed December 30, 2003, and in conjunction with Applicants' request for a one-month extension of time, and the Request for Continued Examination filed herewith, please amend the above-referenced application as follows,

**Amendment to the Claims** are reflected in the listing of claims which begins on page 2 of this paper.

**Remarks/Arguments** begin on page 4 of this paper.

**RECEIVED**

FEB 10 2004

**GROUP 3600**

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